

DOCKET NO.: UPNA-0034  
Application No.: 10/526,941  
Office Action Dated: February 22, 2010

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:  
**Yodh et al.** Confirmation No.: 7568  
Application No.: **10/526,941** Group Art Unit: **1793**  
Filing Date: **September 8, 2005** Examiner: **Martinez, Brittany M.**  
For: **Carbon Nanotubes: High Solids Dispersions and Nematic Gels Thereof**

DECLARATION OF DR. ARJUN G. YODH UNDER 37 CFR § 1.132

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

I, Arjun G. Yodh, Ph.D., hereby declare the following:

1. I am a co-inventor of the above-captioned patent application ("the subject application"). A portion of my Curriculum Vitae is attached hereto as **Exhibit A**. Among my credentials, I received a Ph.D. from the *Division of Applied Sciences* at Harvard University, and I was a Postdoctoral research associate at AT&T Bell Laboratories in Murray Hill, New Jersey. I am presently James M. Skinner Professor of Science and Director of the *Laboratory for Research on the Structure of Matter* at the University of Pennsylvania in Philadelphia, Pennsylvania. My primary appointment at the University is in the *Department Physics & Astronomy*, and I also have a secondary appointment in the *Department of Radiation Oncology* of the Medical School at the University. I am also a member of the *Institute of Medicine and Engineering*, and I am in the graduate group of the *Department of Bioengineering* in the School of Engineering at the University.

2. It is my understanding that claims 1-13, 15-30, 35-52, 55-57, and 61-138 of the subject application are directed to carbon nanotubes and a surfactant comprising an aromatic

group capable of pi-like stacking that is adsorbed to the exterior surface of said carbon nanotubes.

3. I have reviewed the office action dated February 22, 2010. As I understand it, the examiner has rejected claims 1-13, 15-30, 35-52, 55-57, and 61-138 because they are allegedly obvious in light of the prior art, in particular U.S. Patent Number 5,648,523 to Chiang. The examiner relies on Chiang's Example 2 (column 10, lines 30-56).

4. This declaration is made to demonstrate that our invention does not claim water-soluble polyhydroxylated fullerene derivatives, as disclosed in Chiang, Example 2. For example, as we described in paragraph [0017] of our patent application, generally, the chemically modified carbon nanotubes (e.g., polyhydroxylated nanotubes) are less desirable because their band structures can differ from the unmodified nanotubes. Hence, one of ordinary skill in the art would not be motivated to look to Chiang's disclosure of combining certain surfactants with polyhydroxylated nanotubes to give rise to any of our inventions as claimed.

5. In addition, the surface chemistry and chemical bonding of C<sub>60</sub> and C<sub>70</sub> is not expected to be the same as that of carbon nanotubes. For example, the chemical bonding of nanotubes is composed essentially of sp<sup>2</sup> bonds, whereas spherical fullerenes such as C<sub>60</sub> and C<sub>70</sub> also have a number of pi-bonding electrons. These pi-bonding electrons give rise to different surface and adsorption properties among carbon nanotubes and C<sub>60</sub> and C<sub>70</sub>. Hence, one of ordinary skill in the art would not be motivated to look to Chiang's disclosure of combining certain surfactants with C<sub>60</sub>, C<sub>70</sub>, or derivatives of C<sub>60</sub> or C<sub>70</sub> to yield any of our inventions as claimed.

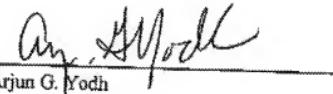
6. I further declare that all statements made herein of my knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under § 1001 of Title 18 of the United States Code,

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and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Date: June 22, 2010

  
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Arjun G. Yodh

Attachments: Exhibit A

## **EXHIBIT A**

### **Arjun G. Yodh**

Department of Physics & Astronomy  
University of Pennsylvania  
209 South 33<sup>rd</sup> Street  
Philadelphia, PA 19104

215.898.6354; x8-5871  
FAX: 215.898.2010  
[yodh@physics.upenn.edu](mailto:yodh@physics.upenn.edu)

#### **Education**

- 1986 Ph.D. Applied Sciences, Harvard University, Boston, MA  
1982 M.S. Applied Sciences, Harvard University, Boston, MA  
1981 B.Sc. Applied and Engineering Physics, Cornell University, Ithaca, NY

#### **Work Experience**

- 1997- *Professor, Physics and Astronomy*  
*Professor, Radiation Oncology*  
University of Pennsylvania, Philadelphia, PA
- 1993-1997 *Associate Professor, Physics*  
University of Pennsylvania, Philadelphia, PA
- 1988-1993 *Assistant Professor, Physics*  
University of Pennsylvania, Philadelphia, PA
- 1987-1988 *Postdoctoral Research Associate*  
with Dr. Harry W.K. Tom, AT&T Bell Laboratories, Murray Hill, NJ
- 1986-1987 *Postdoctoral Research Associate*  
with Dr. Steven Chu, AT&T Bell Laboratories, Murray Hill, NJ
- 1982-1986 *Research Assistant*  
with Dr. Thomas W. Mossberg, Harvard University, Boston, MA

#### **Honors, Appointments, and Fellowships**

- 2000- James M. Skinner Professor of Science, Endowed Chair  
University of Pennsylvania
- 2009- Director, Laboratory for Research on Structure of Matter  
University of Pennsylvania
- 2009- Director, NSF Materials Research Science & Engineering Center,  
University of Pennsylvania
- 2004-2009 MRSEC Deputy Director, Laboratory for Research on Structure of Matter  
University of Pennsylvania
- 2006 Langmuir Lecturer (ACS Division of Colloid and Surface Chemistry)  
University of Pennsylvania

## EXHIBIT A

|           |   |
|-----------|---|
| 2000-2002 | Sigma Xi National Lecturer in Science                       |
| 1997-2000 | William Smith Term Chair, University of Pennsylvania        |
| 1991-1994 | Office of Naval Research Navy Young Investigator            |
| 1991-1994 | Alfred P. Sloan Research Fellow                             |
| 1990-1995 | National Science Foundation Presidential Young Investigator |
| 1990-1993 | AT&T Bell Laboratories Faculty Fellow                       |
| 1988-1989 | Lilly Foundation Faculty Teaching Fellow                    |
| 1983-1986 | U.S. Army Pre-Doctoral Fellowship, Harvard University       |
| 1977-1981 | Cornell National Scholar, Cornell University                |
| 1976-1977 | Westinghouse Science Nationwide Talent Search (Top 40)      |

### **Current Research Interests**

Condensed Matter Physics: Soft materials and complex fluids including – glasses, frustration, Brownian motion, the jamming transition, premelting in bulk crystals, melting of layered phases of rods in temperature sensitive polymer, capillary interactions between anisotropic colloidal particles, biopolymers in anisotropic (nematic) fluids, mechanical responses of soft materials, entropy-driven colloidal interactions and self-assembly; Carbon nanotubes, including – solubilization of single-wall carbon nanotubes in aqueous suspensions, nematic nanotube gels, optical properties and anisotropy of single-wall carbon nanotubes, structure and rheology of single-wall carbon nanotube suspensions, single wall carbon nanotube epoxy composites; Hard surfaces and interfaces, including – nonlinear optical spectroscopy of interfaces/surfaces/particles, and ultrafast spectroscopy of surfaces and surface adsorbates.

Biomedical Optics: Spectroscopy and imaging with diffusing light; Functional imaging and spectroscopy of brain, breast, and muscle; Photodynamic therapy.

Atomic, Molecular & Optical Science: Light forces; Confocal microscopy; *In vivo* GRIN lens two-photon based fluorescence microscopy; Center for Advanced Imaging and Micromanipulation; Scattering; Diffusing light optics, imaging, spectroscopy; Nonlinear optical scattering, spectroscopy and microscopy; Optical information storage, laser physics, new mid-infrared sources; Atomic and molecular physics.